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09/832,683	04/10/2001	Mark E. Rose	2072P	1899

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EXAMINER
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GIANOLA, JOHN F

ART UNIT	PAPER NUMBER
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2145

DATE MAILED: 05/19/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

09/832,683

Applicant(s)

ROSE, MARK E.

Examiner

John F. Gianola

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 07 February 2005.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-38 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-38 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 10 April 2001 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

## Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

## Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_

***Response to Arguments***

1. Applicant's arguments, see pages 14-17, filed February 7, 2005, with respect to the rejection(s) of claim(s) 1-36 under 35 USC 103(a), and 37 and 38 under 35 USC 102(e), have been fully considered and are persuasive. The examiner agrees with applicant's arguments with regard to Pratt (US PGP No. 2002/00876559 A1). Therefore, the rejection has been withdrawn. However, applicant's argument, on page 16, with regard to the FileNet Functionality Sheet, namely that the prior art does not teach allowing "the content originator to publish in file on the first server and specify what users are authorized to access the file," as recited in step (a)," is unpersuasive. As acknowledged by applicant, the FileNet Functionality sheet discloses "multiple levels of security," that include access rights, network security, document services security, and property manager security and file encryption. Specific attention should be paid to the security provided as "access rights," which, as standard practice in the art, contains the functionality of specifying who, when, and how a file may be accessed. Furthermore, applicant is directed to line 35 of the FileNet Functionality Sheet (under sub-heading "Five Levels of Security"), which states "Filename encryption assures only authorized personnel can get information." Upon further consideration, a new ground(s) of rejection is made in view of Levergood et. al. (US Pat. No. 5,708,780).

***Claim Rejections - 35 USC § 102***

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this

Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

3. Claims 37 and 38 are rejected under 35 U.S.C. 102(b) as being anticipated by Levergood et. al.

4. As to Claim 37, Levergood et. al. disclose:

A URL ticket for redirecting a URL request for a file on a content server from a client to a replica server comprising:

A format in the a form of:

Scheme://servername/.../basedir;parameters/subdir/.../file.extension

where scheme represents “http” or “https,” and the “server name”

represents a DNS name of a the replica server, and wherein each

parameter in the URL ticket includes a parameter name and a value:

Name1=value1;name2=value2;... (see Column 5, line 54).

5. As to Claim 38:

The parameters include a path parameter, a start parameter, a use-by parameter, an end parameter, a uid parameter, a clientid parameter, a

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sessionid parameter, a referrer parameter, and a message authentication code (MAC) (see Column 5, lines 56-65).

***Claim Rejections - 35 USC § 103***

6. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

7. Claims 1-36 rejected under 35 U.S.C. 103(a) as being unpatentable over Levergood et. al. in view of the FileNet Functionality Sheet.

8. As to claims 1, 13, and 25, Levergood et. al. disclose:

In response to receiving a URL request from a client for a file from the first server, determining if a user of the client has been granted authorization to access the file (see Column 3, lines 16-21).

Generating a ticket that includes an identifier identifying the particular file on the second sever if the user has been granted authorization access (see Column 3, lines 50-54);

Creating a redirect URL ticket to the file on the second server by

(i). Modifying the client's URL request to identify the second server (see Column 3, lines 38-42); and

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(ii). Augmenting the URL request with the ticket authorizing access to the particular file (see Column 3, lines 38-43 and lines 50-54); and  
returning the redirect URL ticket to the client, such that the client uses the redirect URL to request the file from the second server (see Column 3, lines 41-43 and Column 7, lines 14-21).

While Levergood et. al. do teach the use of a document management systems and multiple servers (see Column 8, 59-61), they do not, specifically teach allowing a content originator to publish a file on a first server, or specifying user authorization for a particular file, or file replication.

The FileNet Functionality Sheet, on the other hand, does disclose:

allowing a content originator to publish a file on a first server and to specify what users are authorized to access the file (see Functionality Sheet, lines 30-35);  
replicating the file from the first server on a second server (see Functionality Sheet, lines 56-57).

9. As to claims 2, 14, and 26, Levergood et. al. disclose:

Verifying the ticket on the second server and returning the requested file (see Column 6, lines 5-16).

10. With regards to Claims 3, 15, and 27, Levergood et. al. further disclose:

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The web browser has not been customized to request tickets (see Columnn 4, lines 24-31).

11. With respect to Claims 4, 16, and 28, the FileNet Functionality sheet discloses:

Allowing the content originator to specify what access privileges each user has with respect to the files, the access privileges including read, write, and delete (see lines 30-35).

12. With regards to Claims 5, 17, and 29, the FileNet Functionality sheet further discloses:

Allowing the access controls to be specified before and after the file is replicated onto the second server (see lines 30-35).

13. With respect to Claims 6, 18, and 30, Levergood et. al. further disclose:

Storing the name of the file in a database along with access privilege specified for the file, and when a user makes a request to access the file, looking up the name of the file in the database and determining if the user has been granted access to the file (see Column 6, lines 58-67).

14. With respect to Claims 7, 19, and 31, Levergood et. al. further disclose:

Generating the URL ticket in the form:

Scheme://servername/.../basedir;parameters/subdir/.../file.extension

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(see Column 5: line 54).

15. With respect to Claims 8, 20, and 32, Levergood et. al. disclose:

Placing into the URL ticket a path parameter, a start parameter, a use-by parameter, an end parameter, a uid parameter, a clientid parameter, a sessionid parameter, and referrer parameter, and a message authentication code (MAC) (see Column 5, lines 56-65).

16. With respect to Claims 9, 21, and 33, Levergood et. al. discloses:

Binding a combination of "basedir+path+sessionid" to an IP address of the client at first use of the URL ticket (see Column 6, lines 5-8).

17. With respect to Claims 10, 22, and 34, Levergood et. al. discloses:

Verifying the URL ticket as valid when:

- (i) the MAC is correct,
  - (ii) a current time is between values of the start and use-by parameters, or the "basedir+path+sessionID" combination has previously been used for the same IP address,
  - (iii) the "basedir+path+sessionID" combination has not been used from a different IP address, and
  - (iv) the URL requests a file that is in a subtree rooted by basedir+"/"path
- (see Column 6, lines 5-16).



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18. With respect to Claims 11, 23, and 35, Levergood et. al. disclose:
- (i) issuing a transfer ticket from the first server to the client when the first server needs to redirect the client to the second server (see Column 5, lines 49-52 and Column 6, lines 58-67),
  - (ii) recognizing by the second server the transfer ticket in a response from the client (Column 6, lines 5-16),
  - (iii) redirecting the client back to the second server with a URL ticket (see Column 7, lines 14-21), and
  - (v) verifying the ticket on the second server and returning the requested file (Column 6, lines 5-16).

19. With respect to Claims 12, 24, and 36, the FileNet Funtionality sheet further discloses:

Providing a content server as the first server and providing at least one replica server as the second server (see lines 56-57).

20. Levergood et. al. discloses an advanced system for controlling access to files across a large network, including multiple users and multiple servers, but not necessarily file replication. FileNet's product is a system for the advanced creation, maintenance, and support of such large system as the one disclosed in Levergood et. al. It would have been obvious to one of ordinary skill in the art at the time of the invention to combine the invention of Levergood et. al. with FileNet's product in order to provide ease of use (see FileNet Functionality

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Sheet, line 18), system scalability (see FileNet Functionality Sheet, line 21), and high performance (see FileNet Functionality Sheet, lines 14-16).

### ***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to John F Gianola whose telephone number is (571)272-3848. The examiner can normally be reached on Mon - Fri (8:30 - 5:00).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Valencia Martin-Wallace can be reached at (571)272-6159. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

jfg

  
**VALENCIA MARTIN-WALLACE**  
**SUPERVISORY PATENT EXAMINER**